

12/11/01
31135 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.		ICOR-004	
First Inventor		TARI	
Title	METHOD AND SYSTEM FOR REQUESTING PRICES FOR ELECTRONIC TRADING OF FINANCIAL INSTRUMENTS		
Express Mail Label No	EL 912 278 649 US		

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit and original and a duplicate for fee processing)
- ☐ Applicant claims small entity status
See 37 CFR 1.27.
- ☒ Specification [Total Pages 16]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 09]
- ☐ Oath or Declaration [Total Pages 03]
 - ☐ Newly executed (original or copy)
 - ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
- ☐ Application Data Sheet See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☒ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No _____

Prior application information Examiner _____ Group Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 26137 or ☐ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	ANDREW F. STROBERT	Registration No. (Attorney/Agent)	35,375
Signature		Date	Dec. 11, 2001

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

PTO
10/014864
12/11/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : **Michael Tari et al.**

CERTIFICATE OF MAILING UNDER 37 CFR § 1.10
"Express Mail" Mailing Label Number

Serial No. : Not Yet Assigned

EL 912 278 649 US

Filed : Concurrently Herewith

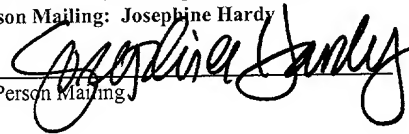
Date of Deposit: December 11, 2001

Title : **Method and System for
Requesting Prices for
Electronic Trading of
Financial Instruments**

I hereby certify that this paper and all enclosures referred to therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D C. 20231

Name of Person Mailing: Josephine Hardy

Signature of Person Mailing



PATENT APPLICATION TRANSMITTAL LETTER AND FEE AUTHORIZATION

Assistant Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

Sir:

Transmitted herewith are the following documents:

Specification, including claims, abstract and eight (8) figures (9 sheets);

Information Disclosure Statement (with references);

Declaration and Power of Attorney (unsigned);

Non-Publication Request;

Utility Patent Application Transmittal (PTO Form SB/05); and

Return Receipt Postcard.

The fees for submitting this patent application are estimated as follows:

Fees

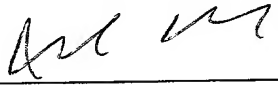
				SMALL ENTITY		OTHER	
				Rate	Fee	Rate	Fee
Basic Fee					\$ 370.00		\$ 740.00
Total Claims	14	(- 20)	--	x 9.00	\$	x 18.00	\$ --
Indep. Claims	04	(- 3)	01	x 42.00	\$	x 84.00	\$ 84.00
Multiple Dependent Claim(s):				\$140.00	\$	\$280.00	\$ --
				TOTAL:	\$	TOTAL	\$ 824.00

The Commissioner is hereby authorized to charge the filing fee estimated to be **\$824.00** and any fees which may be required in connection with this submission, to Skadden, Arps, Slate, Meagher & Flom LLP **Deposit Account No. 19-2385**. (Please reference Attorney Docket No. **ICOR-004**).

☒ Priority of Application No. **60/254,680**, filed **December 11, 2000** is claimed under 35 U.S.C. § 119.

Date: December 11, 2001

Respectfully submitted,

By: 
 Andrew F. Strobert Reg. No. 35,375

Skadden, Arps, Slate, Meagher
 & Flom LLP
 Four Times Square
 New York, New York 10036
 (212) 735-3000

Enclosures

Express Mail Label No.: EL 912 278 649 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Michael Tari *et al.* **Group** : Not Yet Assigned
Serial No. : Not Yet Assigned **Examiner** : Not Yet Assigned
Filed : Concurrently Herewith
Title : Method and System for Re-
 questing Prices for Elec-
 tronic Trading of Financial
 Instruments



Assistant Commissioner for Patents
Washington, DC 20231

NON-PUBLICATION REQUEST UNDER 37 C.F.R. 1.213

Dear Sir:

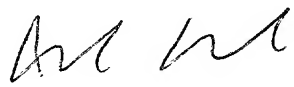
It is respectfully requested that the above-identified application not be published under 35 U.S.C. 122 (b) and 37 C.F.R. 1.211.

It is hereby certified that the invention disclosed in the application has not been and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

Respectfully submitted,

Date: December 11, 2001

By:



Andrew F. Strobert Reg. No. 35, 375

Skadden, Arps, Slate, Meagher & Flom LLP
Four Times Square
New York, NY 10036
(212) 735-3000

FOI b 7 - DATED 01/11/01